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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 1 of 16

Complete if Known	
Application Number	10/677,049
Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
Examiner Name	Minh DINH
Attorney Docket Number	2222.5430000

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (If Known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/MD/	US1	4,203,166	05-13-1980	Eshram et al.	
	US2	4,734,568	03-29-1988	Watanabe	
	US3	4,757,533	07-12-1988	Allen et al.	
	US4	4,796,220	01-01-1989	Wolfe	
	US5	4,799,258	01-17-1989	Davies	
	US6	4,827,508	05-02-1989	Shear	
	US7	4,888,800	12-19-1989	Marshall et al.	
	US8	4,972,472	11-20-1990	Brown et al.	
	US9	5,032,979	07-16-1991	Hecht et al.	
	US10	5,052,040	09-24-1991	Preston et al.	
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	US13	5,204,897	04-20-1993	Wyman	
	US14	5,220,657	06-15-1993	Bly et al.	
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	US18	5,319,705	06-07-1994	Halter et al.	
	US19	5,369,702	11-29-1994	Shanton	
	US20	5,375,169	12-20-1994	Seheidt et al.	

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Examiner Initials*	Cite No.[1]	Foreign Patent Document Country Code[3] Number[4] Kind Code[5] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T[6]
/MD/	FP1	EP 0 674 253 A1	09-27-1995	Kabushiki Kaisha Toshiba		
	FP2	EP 0 809 170 A1	11-26-1997	NCR International Inc.		
	FP3	EP 0 913 966 A2	05-06-1999	Sun Microsystems, Inc.		
	FP4	EP 0 950 941 A2	10-20-1999	Fujitsu Limited		
	FP5	EP 0 950 941 A3	10-20-1999	Fujitsu Limited		
	FP6	EP 1 130 492 A2	09-05-2001	Sony Corporation		
	FP7	EP 1 154 348 A2	11-14-2001	Matsushita Electronics Corp.		
	FP8	EP 1 107504 A2	06-13-2001	Benayoun et al.		
	FP9	EP 0 672 991 A2	09-20-1995	Narasimhalu et al.		

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Sheet 2 of 16

Complete if Known	
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Art Unit	2132
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Attorney Docket Number	2222.5430000

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/MD/	US21	5,404,404	04-01-1995	Novorita	
	US22	5,406,628	04-11-1995	Beller et al.	
	US23	5,414,852	05-09-1995	Kramer et al.	
	US24	5,495,533	02-27-1996	Linehan et al.	
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/MD/	FP10	GB 2 328 047 A	02-10-1999	Microsoft Corporation		
	FP11	JP 2001-036517	02-09-2001	Lucent Technol, Inc.		
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	FP17	WO 01/84271 A2	11-08-2001	Certia, Inc.		
	FP18					

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Sheet 3 of 16

Complete if Known	
Application Number	10/677,049
Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
Examiner Name	Minh DINH
Attorney Docket Number	2222.5430000

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	US42	5,729,734	03-17-1998	Parker et al.	
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	US45	5,751,287	05-12-1998	Hahn et al.	
	US46	5,757,920	05-26-1998	Misra et al.	
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	US53	5,821,933	10-13-1998	Keller et al.	
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	US56	5,857,189	01-05-1999	Riddle	
	US57	5,862,325	01-19-1999	Reed et al.	
	US58	5,870,468	02-09-1999	Harrison	
	US59	5,870,477	02-09-1999	Sasaki et al.	
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	FP19					
	FP20					
	FP21					
	FP22					
	FP23					
	FP24					
	FP25					
	FP26					
	FP27					

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Sheet 4 of 16

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Application Number	10/677,049
Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
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/MD/	US61	5,892,900	04-06-1999	Ginter et al.	
	US62	5,893,084	04-06-1999	Morgan et al.	
	US63	5,898,781	04-27-1999	Shanton	
	US64	5,922,073	07-13-1999	Shimada	
	US65	5,933,498	08-03-1999	Schnek et al.	
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	US70	5,987,440	11-16-1999	O'Neil et al.	
	US71	5,991,879	11-23-1999	Still	
	US72	6,023,506	02-08-2000	Ote et al.	
	US73	6,032,216	02-29-2000	Schmuck et al.	
	US74	6,038,322	03-14-2000	Harkins	
	US75	6,044,155	03-28-2000	Thomlinson et al.	
	US76	6,055,314	04-25-2000	Spies et al.	
	US77	6,058,424	05-02-2000	Dixon et al.	
	US78	6,061,790	05-09-2000	Bodnar	
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	FP29					
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	FP32					
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	FP34					
	FP35					
	FP36					

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/MD/	US81	6,098,056	08-01-2000	Rusnak et al.	
	US82	6,105,131	08-15-2000	Carroll	
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	US118	6,381,698 B1	04-30-2002	Devanbu et al.	
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	FP52					
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	FP54					

Examiner Signature		Date Considered	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 7 of 16

Complete if Known	
Application Number	10/677,049
Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
Examiner Name	Minh DINH
Attorney Docket Number	2222.5430000

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No.[1]	Document Number Number-Kind Code[2] (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
/MD/	US121	6,405,315 B1	06-11-2002	Burns et al.	
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	US123	6,442,688 B1	08-27-2002	Moses et al.	
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	FP55					
	FP56					
	FP57					
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	FP59					
	FP60					
	FP61					
	FP62					
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Sheet 8 of 16

Complete if Known	
Application Number	10/677,049
Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
Examiner Name	Minh DINH
Attorney Docket Number	2222.5430000

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/MD/	US141	6,598,161 B1	07-22-2003	Kluttz et al.	
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	FP64					
	FP65					
	FP66					
	FP67					
	FP68					
	FP69					
	FP70					
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Sheet 9 of 16

Complete if Known	
Application Number	10/677,049
Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
Examiner Name	Minh DINH
Attorney Docket Number	2222.5430000

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/MD/	US161	6,834,341 B1	12-21-2004	Bahl et al.	
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	FP74					
	FP75					
	FP76					
	FP77					
	FP78					
	FP79					
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Sheet 10 of 16

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Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
Examiner Name	Minh DINH
Attorney Docket Number	2222.5430000

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	US182	6,959,308 B1	10-25-2005	Gramsamer et al.	
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	FP83					
	FP84					
	FP85					
	FP86					
	FP87					
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/MD/	US201	7,076,633 B2	07-11-2006	Tormasov et al.	
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 13 of 16

Complete if Known	
Application Number	10/677,049
Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
Examiner Name	Minh DINH
Attorney Docket Number	2222.5430000

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Sheet 14 of 16

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Application Number	10/677,049
Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
Examiner Name	Minh DINH
Attorney Docket Number	2222.5430000

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Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
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Art Unit	2132
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Sheet 1 of 6

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↓	NPL10	" Features of EFS" from MSDN October, 2001 version, exact publication date is unknown but believed prior to 12/12/2001	

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Art Unit	2132
Examiner Name	Minh DINH
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Substitute for form 1449/PTO				*Complete if Known*	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT *(Use as many sheets as necessary)*				*Application Number*	10/677,049
				Filing Date	September 30, 2003
				First Named Inventor	Satyajit NATH
				Art Unit	2132
				Examiner Name	Minh DINH
Sheet	3	of	6	*Attorney Docket Number*	2222.5430000

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume number, publisher, city and/or country where published	T[2]
/MD/	NPL21	A Real-Time Push-Pull Communications Model for Distributed Real-Time and Multimedia Systems, January 1999, School of Computer Sciences Carnegie Mellon University, Kanaka Juvva, Raj Rajkumar.	
	NPL22	U.S. patent application, Ser No. 10/889,685, entitled "Method and Apparatus for Controlling the Speed Ranges of a Machine " inventor Thomas, July 13, 2004, 18 pgs.	
	NPL23	U.S. patent application, Ser No. 10/028,397, entitled "Method and system for restricting use of a clipboard application, " inventor Zuili, December 21, 2001, 38 pgs.	
	NPL24	U.S. patent application, Ser No. 10/368,277, entitled "Method and apparatus for uniquely identifying files, " inventor Ouye, February 18, 2003, 25 pgs.	
	NPL25	U.S. patent application, Ser No. 10/327,320, entitled "Security system with staging capabilities " inventor Vainstein, December 20, 2002, 39 pgs.	
	NPL26	U.S. patent application, Ser No. 10/286,524, entitled "Security system that uses indirect password-based encryption, " inventor Gutnik, November 1, 2002, 38 pgs.	
	NPL27	U.S. patent application, Ser No. 10/242,185, entitled "Method and system for protecting encrypted files transmitted over a network " inventor Ryan, September 11, 2002, 33 pgs.	
	NPL28	U.S. patent application, Ser No. 10/642,041, entitled "Method and system for fault-tolerant transfer of files across a network " inventor Kenrich, August 15, 2003, 32 pgs.	
	NPL29	U.S. patent application, Ser No. 10/610,832, entitled "Method and system for enabling users of a group shared across multiple file security systems to access secured files " inventor Ryan, June 30, 2003, 33 pgs.	
	NPL30	U.S. patent application, Ser No. 10/448,806, entitled "Method and System for Using Remote Headers to Secure Electronic Files " inventor Ryan, May 30, 2003, 35 pgs.	

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/MD/	NPL31	U.S. patent application, Ser No. 10/074,194, entitled "Methods for idnetifying compunds that inhibit or reduce PTP1B expressions" inventor Rondinone, February 12, 2002, 69 pgs.	
	NPL32	U.S. patent application, Ser No. 10/074,804, entitled "Secured Data Format for Access Control," inventor Garcia, February 12, 2002, 108 pgs.	
	NPL33	U.S. patent application, Ser No. 10/075,194, entitled "System and Method for Providing Multi-location Access Management to Secured Items," inventor Vainstein et al., February 12, 2002, 110 pgs.	
	NPL34	U.S. patent application, Ser No. 10/074,996, entitled "Method and Apparatus for Securing Electronic Data," inventor Lee et al., February 12, 2002, 111 pgs.	
	NPL35	U.S. patent application, Ser No. 10/074,825, entitled "Method and Apparatus for Accessing Secured Electronic Data Off-line," inventor Lee et al., February 12, 2002, 108 pgs.	
	NPL36	U.S. patent application, Ser No. 10/105,532, entitled "System and Method for Providing Different Levels of Key Security for Controlling Access to Secured Items," inventor Hildebrand et al., March 20, 2002, 86 pgs.	
	NPL37	U.S. patent application, Ser No. 10/186,203, entitled "Method and System for Implementing Changes to Security Policies in a Distributed Security System," inventor Huang, June 26, 2002, 65 pgs.	
	NPL38	U.S. patent application, Ser No. 10/201,756, entitled "Managing Secured Files in Designated Locations," inventor Alain, July 22, 2002, 121 pgs.	
	NPL39	U.S. patent application, Ser No. 10/206,737, entitled "Method and System for Updating Keys in a Distributed Security System," inventor Hildebrand, July 26, 2002, 60 pgs.	
↓	NPL40	U.S. patent application, Ser No. 10/246,079, entitled "Security System for Generating Keys from Access rules in a Decentralized Manner and Methods Therefor," inventor Hildebrand, September 17, 2002, 78 pgs.	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet 5 of 6

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Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
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/MD/	NPL41	U.S. patent application, Ser No. 10/259,075, entitled "Effectuating Access Policy Changes to Designated Places for Secured Files," inventor Crocker, September 27, 2002, 60 pgs.	
	NPL42	U.S. patent application, Ser No. 10/286,575, entitled "Method and Architecture for Providing Access to Secured Data from Non-Secured Clients," inventor Vainstein, November 1, 2002, 46 pgs.	
	NPL43	U.S. patent application, Ser No. 10/295,363, entitled "Security System Using Indirect Key Generation from Access Rules and Methods Therefor," inventor Vainstein, November 15, 2002, 70 pgs.	
	NPL44	U.S. patent application, Ser No. 11/889,310, entitled "Methods and Systems for Providing Access Control to Electronic Data," inventor Rossmann, August 10, 2007, 90 pgs.	
	NPL45	U.S. patent application, Ser No. 11/797,367, entitled "Method and System for Managing Security Tiers," inventor Vainstein, May 2, 2007, 11 pgs.	
	NPL46	Adobe Acrobat 5.0 Classroom in a Book, Adobe Press, 26 June 2001, pp.1-4.	
	NPL47	Adobe Acrobat Security Settings, Acrobat 7.0, 15 Nov 2004, pp.1-4.	
	NPL48	"Security Options". December 20, 2001. DC & Co. pages 1-2	
	NPL49	Microsoft Press Computer Dictionary, 1997, Microsoft Press, Third Edition, page 426.	
	NPL50	Search Report, completion date May 8, 2003, for European Patent Application No. EP 02 25 8530, 2 pages.	

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Sheet 6 of 6

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Filing Date	September 30, 2003
First Named Inventor	Satyajit NATH
Art Unit	2132
Examiner Name	Minh DINH
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Examiner Initials*	Cite No.[1]	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume number, publisher, city and/or country where published	T[2]
/MD/	NPL51	Search Report, completion date October 2, 2003, for European Patent Application No. EP 02 25 8531, 2 pages.	
	NPL52	Search Report, completion date April 14, 2005, for European Patent Application No. EP 02 25 8533, 2 pages.	
	NPL53	Search Report, completion date March 16, 2005, for European Patent Application No. EP 02 25 8534, 2 pages.	
	NPL54	Search Report, completion date March 2, 2005, for European Patent Application No. EP 02 25 8535, 2 pages.	
	NPL55	Search Report, completion date March 3, 2005, for European Patent Application No. EP 02 25 8537, 2 pages.	
	NPL56	Search Report, completion date May 12, 2005, for European Patent Application No. EP 02 25 8539, 2 pages.	
	NPL57	Search Report, completion date July 6, 2005, for European Patent Application No. EP 02 25 8529, 4 pages.	
	NPL58	Search Report, completion date October 8, 2003, for European Patent Application No. EP 02 25 8536, 2 pages.	
	NPL59	Search Report, completion date May 8, 2003, for European Patent Application No. EP 02 25 8540, 2 pages.	
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